

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: John M. Siegel, Jr.Application No./Patent No.: 09/843,252 Filed/Issue Date: April 26, 2001Entitled: Ranking-Based Screening Method for Equity AnalysisStockworm, Inc., a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

7/9/2001
DateJohn M. Siegel, Jr.
Typed or printed name
[Signature]
Signature
President
Title

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned do hereby:

SELL, ASSIGN AND TRANSFER to, **Stockworm, Inc.** (the "Assignee"), an Alabama corporation having a place of business at **2130 Memorial Parkway, SW, Huntsville, Alabama 35801**, the entire right, title and interest for the United States and all foreign countries in and to any and all inventions and/or improvements which are disclosed in the Non-Provisional Patent Application Serial No.:09/843,252, filed April 26, 2001, which is entitled, **"RANKING-BASED SCREENING METHOD FOR EQUITY ANALYSIS,"** such application, and all provisional, divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such inventions and/or improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such inventions and/or improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such inventions and/or improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all non-provisional, divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such inventions and/or improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such inventions and/or improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such inventions and/or improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such inventions and/or improvements;

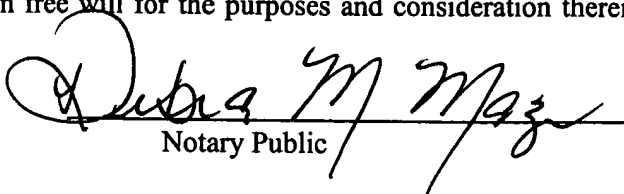
TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

Signature:  _____
John M. Siegel, Jr.

Date: 7/7/2001

STATE OF ALABAMA
COUNTY OF MADISON

BEFORE ME, the undersigned authority, on this 9 day of July, 2001, personally appeared John M. Siegel, Jr., known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

 _____
Notary Public

PATENT

Signature: Fyodor N. Golos Date: 7-9-01

STATE OF ALABAMA
COUNTY OF MADISON

BEFORE ME, the undersigned authority, on this 9 day of July, 2001, personally appeared Fyodor N. Golos, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

Debra M. Magee
Notary Public

Please type a plus sign (+) inside this box → ☐



PTO/SB/01 (10-00)

Approved for us through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)	Attorney Docket Number	99-1054.02
	First Named Inventor	John M. Siegel, Jr.
	COMPLETE IF KNOWN	
	Application Number	09/843,252
	Filing Date	April 26, 2001
	Group Art Unit	2163
	Examiner Name	

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

RANKING-BASED SCREENING METHOD FOR EQUITY ANALYSIS

(Title of the Invention)

The specification of which

☐
☒

is attached hereto

OR

was filed on (MM/DD/YYYY)

April 26, 2001

as United States Application Number or PCT International

Application Number **09/843,252** and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	
60/199,868	April 26, 2000	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box → ☐

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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DECLARATION - Utility or Design Patent Application

Direct all correspondence to: ☒ Customer Number or Bar Code Label  OR ☐ Correspondence address below

Name **21491**
PATENT, TRADEMARK OFFICE

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Address

City State Zip

Country Telephone Fax

I hereby declare that all statements are made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name John M. Siegel, Jr.
(first and middle [if any])

Family Name
or Surname

Inventor's
Signature

Date

Residence: City Huntsville State AL Country United States Citizenship USA

Mailing Address. 707 Corlett Drive

Mailing Address 707 Corlett Drive

City Huntsville State AL Zip 35802 Country USA

NAME OF SECOND INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name Fyodor N.
(first and middle [if any])

Family Name Golos
or Surname

Inventor's
Signature

Date

Residence: City Huntsville State Alabama Country United States Citizenship US

Mailing Address 111 Violet Drive

Mailing Address 111 Violet Drive

City Huntsville State Alabama Zip 35758 Country United States

☐ Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

JUL 16 2001

POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT

C mplet if Known

Application Number	09/843,252
Filing Date	April 26, 2001
First Named Inventor	John M. Siegel, Jr.
Group Art Unit	2163
Examiner Name	
Attorney Docket Number	99-1054.02

I hereby appoint:

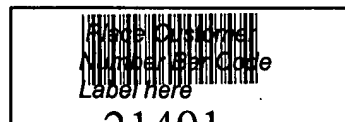
☒ Practitioners at Customer Number

21491

OR

☐ Practitioner(s) named below:

Name	Registration Number



21491

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

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Individual Name

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State

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Country

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Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name John M. Siegel, Jr.

Signature 

Date 7/9/2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.